

OGE Form 278e (March 2014)

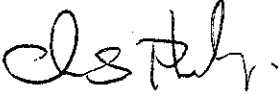
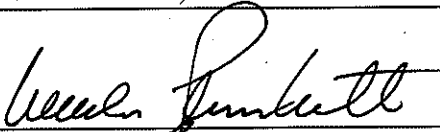
U.S. Office of Government Ethics; 5 C.F.R. part 2634 | Form Approved: OMB No. (3209-0001)

Report Type:	Annual
Year (Annual Report only):	2017
Date of Appointment/Termination:	9/29/2016

UNITED STATES OFFICE OF
GOVERNMENT ETHICS

★
Preventing Conflicts of Interest
in the Executive Branch

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information				
Last Name	First Name	MI	Position	Agency
Phalen	Charles		Director, National Background Investigations Bureau	Office of Personnel Management
Other Federal Government Positions Held During the Preceding 12 Months:				
Name of Congressional Committee Considering Nomination (Nominees only):				
Filer's Certification - I certify that the statements I have made in this report are true, complete and correct to the best of my knowledge:				
Signature: 		Date: 4/29/18		
Agency Ethics Official's Opinion – On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below)				
Signature: 		Date: 5/14/18		
Other Review Conducted By:				
Signature:		Date:		
U.S. Office of Government Ethics Certification (if required):				
Signature:		Date:		
Comments of Reviewing Officials:				

Instructions for Part 1

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	2

Part 1: Filer's Positions Held Outside United States Government

#	Organization Name	City/State	Organization Type	Position Held	From	To
1.	none					
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Instructions for Part 2

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	3

Part 2: Filer's Employment Assets & Income and Retirement Accounts

#	Description	EIF	Value	Income Type	Income Amount
1.					
2.	Northrop Grumman Corp, Savings Plan: 2020 Retirement Path Fund	Y	\$250,001 - \$500,000		
3.	Northrop Grumman Corp, Savings Excess Plan: Balanced Fund	Y	\$15,001 - \$50,000	scheduled pay-outs	\$5,001 - \$15,000
4.	Northrop Grumman Corp, Savings Excess Plan: 2020 Retirement Path Fund	Y	\$15,001 - \$50,000		
5.	Northrop Grumman Corp, Deferred Compensation: Northrop Grumman Restricted Stock, (Vested)	N	\$250,001 - \$500,000		
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Instructions for Part 3

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	4

Part 3: Filer's Employment Agreements and Arrangements

#	Employer or Party	City/State	Status and Terms	Date
1.	Northrop Grumman Corp	Falls Church, VA	Northrop Grumman Savings Plan and Savings Excess Plan (see Part 2); neither former Employer nor I contribute to the plans any longer.	09/2011
2.	Northrop Grumman Corp	Falls Church, VA	Deferred Compensation: Northrop Grumman Corporation Restricted Stock (vested)	09/2011
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Instructions for Part 4

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	5

Part 4: Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	Source Name	City/State	Brief Description of Duties
1.	none		
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Instructions for Part 5

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	6

Part 5: Spouse's Employment Assets & Income and Retirement Accounts

#	Description	EIF	Value	Income Type	Income Amount
1.					
2.	Southern Cross Networks 401(k) Plan: Global Telecommunications 401(k):				
3.	Southern Cross Networks Common Stock	N/A	\$15,001 - \$50,000		
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Instructions for Part 6

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	7

Part 6: Other Assets and Income

#	Description	EIF	Value	Income Type	Income Amount
1.	Fidelity Acct: Northrop Grumman Corp. Common Stock		\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
2.	Cash-Like Holding		\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.	Wells Fargo Brokerage Account:				
4.	Goldman Fin. Sq. Treas. MM (FTIXX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.	Amer FDS T/E BD CL C (TEBCX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.	Amer FDS Wash Mutual A (AWSHX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.	John Hancock US Gbl L-A (USGLX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.	Russell Commodity Strt S (RCCSX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.	Russell Emerging Mkts S (REMSX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.	Russell Global Equity S (RGESX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
11.	Russell Global Infra S (RGISX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.	Russell Global Opp Crd S (RGCSX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.	Russell Global Real Est S (RRESX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14.	Russell Intl Dev Mkts S (RINTX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
15.	Russell Invst Grade Bd S (RFATX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.	Russell Multi-Stra CI S (RMYSX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
17.	Russell Strategic Bond S (RFCTX)	Y	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
18.	Russell US S/C Equity S (RLESX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.	Russell US Strat Eqty S (RSESX)	Y	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

20.	Thornburg Intl Val FD C (THGCX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
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Filer's Name	Page Number
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Part 6: Other Assets and Income

#	Description	EIF	Value	Income Type	Income Amount
1.	Thornburg Ltd Trm Muni-C (LTM CX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.	Amer Fds Inc Fund AMR C (IFACX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.	Royce Fd Totl Rtn Fd Con (RYTCX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.	Money Market Funds	Y	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
5.	Abbott Laboratories Common Stock (ABT)	N	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.	Abbvie Inc Common Stock (ABBV)	N	\$15,001 - \$50,000	Dividends	None (or less than \$201)
7.					
8.	Altria Group, Inc. Common Stock (MO)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.	American Electric Power Common Stock (AEP)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.	Apple, Inc. Common Stock (AAPL)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
11.	AT&T Common Stock (T)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.	BB&T Common Stock (BBT)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.	Caterpillar Inc Common Stock (CAT)	N	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.	Chevron Corp Common Stock (CVX)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
15.	Coca-Cola Common Stock (KO)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.	Comcast Corp New Cl A Stock (CMCSA)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17.	Dunkin Brands Grp Common Stock (DNKN)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18.	General Electric Common Stock (GE)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

19.	Genuine Parts Common Stock (GPC)	N	\$1,001 - \$15,000	Dividends	None (or less than \$201)
20.	Intel Corp Common Stock (INTC)	N	\$15,001 - \$50,000		

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Filer's Name	Page Number
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Part 6: Other Assets and Income

#	Description	EIF	Value	Income Type	Income Amount
1.	JM Smucker Common Stock (SJM)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.	JP Morgan Chase Common Stock (JPM)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.	Kinder Morgan Common Stock (KMI)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.	McDonalds Common Stock (MCD)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.	Microsoft Common Stock (MSFT)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.	Royal Dutch Shell Common Stock (RDSB)	N	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.	Sanofi ADR Common Stock (SNY)	N	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.	Starbucks Common Stock (SBUX)	N	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.	Telefonica S A Common Stock (TEF)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.					
11.	Unilever Common Stock (UN)	N	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.	United Parcel Service B Common Stock (UPS)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.	United Health Group Common Stock (UNH)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.	Vectren Corp Common Stock (VVC)	N	\$1,001 - \$15,000	Dividends	None (or less than \$201)
15.	Verizon Communications Common Stock (VZ)	N	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.	Walgreens Boots Common Stock (WBA)	N	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17.	Whirlpool Corp Common Stock (WHR)	N	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

18.	Goldman Finl Sq Treas MM (FTIXX)	Y	\$1,001 - \$15,000	Dividends	None (or less than \$201)
19.	First Egle Sgen Ovrsea-C (FESOX)	Y	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
20.	Russell Commodity Strt S (RCCSX)	Y	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
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Part 6: Other Assets and Income

#	Description	EIF	Value	Income Type	Income Amount
1.	Russell Emerging Mkts S (REMSX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.	Russell Global Equity S (RGESX)	Y	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
3.	Russell Global Infra S (RGISX)	Y	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.	Russell Global Oopp Crd S (RGCSX)	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.	Russell Global Real Est S (RRESX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.	Russell Intl Dev Mkts S (RINTX)	Y	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
7.	Russell Multi-Stra Cl S (RMYSX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.	Russell Strategic Bond S (RFCTX)	Y	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
9.	Russell US S/C Equity S (RLESX)	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.	Russell Strat Eqty S (RSESX)	Y	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
11.	Prudential Annuity #1:				
12.	T. Rowe Price Asset Allocation	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.	FI Pyramis* Quantative Portfolio	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
14.	Schroders Global Tactical Portfolio	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
15.	Blackrock Global Strategies Portfolio	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
16.	Prudential Annuity #2:				

17.	T. Rowe Price Asset Allocation	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
18.	Schroders Global Tactical Portfolio	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
19.	RCM World Trends	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20.	Blackrock Global Strategies Portfolio	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
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Part 6: Other Assets and Income

#	Description	EIF	Value	Income Type	Income Amount
1.	Secure Value Account	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.	Prudential Annuity #3:				
3.	T. Rowe Price Asset Allocation	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.	Balanced Asset Allocation Portfolio	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.	Schroders Global Tactical Portfolio	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.	RCM World Trends	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.	Blackrock Global Strategies Portfolio	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.	Legg Mason Diversified Growth	Y	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
9.	Secure Value Account	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
10.	John Hancock Annuity:				
11.	Lifestyle Balance MVP	Y	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
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Instructions for Part 7

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
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Part 7: Transactions

#	Description	Type	Date	Amount
1.	(See 278-T Reports)			
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Instructions for Part 8

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
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Part 8: Liabilities

#	Creditor Name	Type	Amount	Year Incurred	Rate	Term
1.	None					
2.						
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Instructions for Part 9

Note: This is a public form. Do not include account numbers, street addresses, or family member names. See instructions for required information.

Filer's Name	Page Number
	14

Part 9: Gifts and Travel Reimbursements

#	Source Name	City/State	Brief Description	Value
1.	None			
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Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT: Periodic Transaction Report

Filer's Name (Print Last, First, and Middle Initial)		Title of Position for Which Filing		Department or Agency	
PHALEN, CHARLES		Director, NBIB		OPM	
Certification: I CERTIFY that the statements I have made on this form and any attachments are true, complete, and correct to the best of my knowledge.		Signature of the Filer		Date (Month, Day, Year)	Notice of Extension
				4/26/18	<input type="checkbox"/> Check if granted Indicate number of days:
Signature of Intermediate Reviewing Official (if required by agency)		Date (Month, Day, Year)		Agency Use Only	OGE Use Only
Signature of Agency's Final Reviewing Official		Date (Month, Day, Year)		Comments of Reviewing Officials	
		4-26-18			
Signature of Reviewing Official at U.S. Office of Government Ethics (if required)		Date (Month, Day, Year)			

Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000. You do not need to report: (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between you, your spouse, or dependent child.

Deadlines

You must file your report within 30 days of when you receive notification of a transaction but not later than 45 days after the transaction. These deadlines do not apply to any voluntary additional disclosures you make. See the instructions.

Identification of Assets			Ago*	Pur	Sale	Exch	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Ex.	Central Airlines Co.	10/1/12		X					X								
Ex.	BMSL Propulsion, Inc.	9/4/12	X	X				X									
1	Whirlpool, Inc. (WHR)	3/26/18			X			X									
2	JM Smucker, Inc. (JSM)	3/26/18			X			X									
3	Qualcomm, Inc. (QCOM)	3/26/18			X		X										
4	Kinder Morgan, Ltd. (KML)	3/26/18			X		X										
5	General Electric, Inc. (GE)	3/26/18			X		X										
6	General Mills, Inc. (GIS)	3/26/18		X			X										
7	United Technologies Corp. Inc. (UTX)	3/26/18		X			X										

* Extensions of the due date should be noted in the "Notice of Extension" section of this form.

** This category applies only if the underlying asset is solely that of your spouse or dependent child. If the underlying asset is either held by you or jointly held by you with your spouse or dependent children, use the other higher categories of value, as appropriate.

Filer's Name <i>Phalen</i>	Transactions continued (Use only if needed)	Page Number <i>2</i>
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Identification of Assets		Transaction Date (Mo./Day/Yr.)	Notification Received More Than 30 Days Ago*	Transaction Type (x)			Amount of Transaction (x)												
				Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000		
1	IBM, Inc. (IBM)	3/20/18		X			X												
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* Extensions of the due date should be noted in the "Notice of Extension" section of this form.

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278 - T

Sold 3/26

WHR	31K	Whirlpool
SJM	18K	Jim Smucker
QCOM	5K	Qualcomm, Inc.
KMI	8K	Kinder Morgan, Ltd.
GE	5K	General Electric

Bought 3/26

GIS	9K	General Mills Inc.
UTX	9K	United Technologies Corp.
IBM	8K	IBM

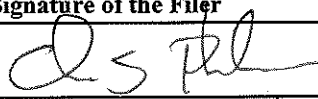
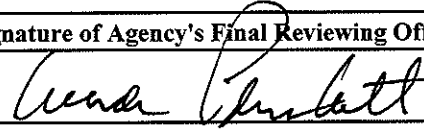
Part 2

#3 8,000 - 10,000
Savings excess plan
- quarterly payouts

Part 4 "none"

Part 5 #1 off.

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT: Periodic Transaction Report

Filer's Name (<i>Print Last, First, and Middle Initial</i>)	Title of Position for Which Filing	Department or Agency	
PHALEN, Charles S.	Director, NBIB	Office of Personnel Management	
Certification: I CERTIFY that the statements I have made on this form and any attachments are true, complete, and correct to the best of my knowledge.	Signature of the Filer	Date (<i>Month, Day, Year</i>)	Notice of Extension
		07/20/2018	<input type="checkbox"/> Check if granted Indicate number of days:
Signature of Intermediate Reviewing Official (<i>if required by agency</i>)	Date (<i>Month, Day, Year</i>)	Agency Use Only	OGE Use Only
Signature of Agency's Final Reviewing Official	Date (<i>Month, Day, Year</i>)	Comments of Reviewing Officials	
	7/29/18		
Signature of Reviewing Official at U.S. Office of Government Ethics (<i>if required</i>)	Date (<i>Month, Day, Year</i>)		

Transactions

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Deadlines

You must file your report within **30 days** of when you receive **notification of a transaction** but not later than 45 days after the transaction. These deadlines do not apply to any voluntary additional disclosures you make. See the instructions.

Identification of Assets		Transaction Date (Mo./Day/Yr.)	Notification Received More Than 30 Days Ago*	Transaction Type (x)			Amount of Transaction (x)										
				Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Ex.	Central Airlines Co.	10/1/12		X					X								
Ex.	BMSL Propulsion, Inc.	9/4/12	X	X				X									
1	AT&T	06/29/18		X			X										
2	Caterpillar Inc	06/29/18		X			X										
3	Comcast Corp	06/29/18		X			X										
4	Genuine Parts Co	06/29/18			X		X										
5	Intel Corp	06/29/18		X			X										
6	JP Morgan Chase	06/29/18		X			X										
7	Microsoft Corp	06/29/18		X			X										

* Extensions of the due date should be noted in the "Notice of Extension" section of this form.

** This category applies only if the underlying asset is solely that of your spouse or dependent child. If the underlying asset is either held by you or jointly held by you with your spouse or dependent children, use the other higher categories of value, as appropriate.

Filer's Name PHALEN, Charles S.	Transactions continued (Use only if needed)	Page Number
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1	TEVA Pharmaceutical	06/29/18			X		X										
2	Unilever NV	06/29/18			X			X									
3	Walgreens Boots Alliance Inc	06/29/18		X			X										
4																	
5																	
6																	
7																	
8																	
9																	
10																	
11																	
12																	
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